

On Multiphase-Linear Ranking Functions

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Abstract

Multiphase ranking functions ($M\Phi$ RFs) were proposed as a means to prove the termination of a loop in which the computation progresses through a number of “phases”, and the progress of each phase is described by a different linear ranking function. Our work provides new insights regarding such functions for loops described by a conjunction of linear constraints (single-path loops). We provide a complete polynomial-time solution to the problem of existence and of synthesis of $M\Phi$ RF of bounded depth (number of phases), when variables range over rational or real numbers; a complete solution for the (harder) case that variables are integer, with a matching lower-bound proof, showing that the problem is coNP-complete; and a new theorem which bounds the number of iterations for loops with $M\Phi$ RFs. Surprisingly, the bound is linear, even when the variables involved change in non-linear way. We also consider a type of *lexicographic* ranking functions, $LLRF$, more expressive than types of lexicographic functions for which complete solutions have been given so far. We prove that for the above type of loops, lexicographic functions can be reduced to $M\Phi$ RFs, and thus the questions of complexity of detection and synthesis, and of resulting iteration bounds, are also answered for this class.

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1 Introduction

Proving that a program will not go into an infinite loop is one of the most fundamental tasks of program verification, and has been the subject of voluminous research. Perhaps the best known, and often used, technique for proving termination is the *ranking function*. This is a function f that maps program states into the elements of a well-founded ordered set, such that $f(s) > f(s')$ holds whenever states s' follows state s . This implies termination since infinite descent in a well-founded order is impossible. Unlike termination of programs in general, which is the fundamental example of undecidability, the algorithmic problems of detection (deciding the existence) or generation (synthesis) of a ranking function can well be solvable, given certain choices of the program representation, and the class of ranking function. Numerous researchers have proposed such classes, with an eye towards decidability; in some cases the algorithmic problems have been completely settled, and efficient algorithms provided, while other cases remain as open problems. Thus, in designing ranking functions, we look for expressivity (to capture more program behaviors) but also want (efficient) computability. Besides proving termination, some classes of ranking functions also serve to bound the length of the computation (an *iteration bound*), which is useful in applications such as *cost analysis* (related terms: execution-time analysis, resource analysis) and loop optimization [13, 2, 1, 6].

We focus on *single-path linear-constraint loops* (*SLC* loops for short), where a state is described by the values of a finite set of numerical variables, and the effect of a transition (one iteration of the loop) is described by a conjunction of *linear constraints*. We consider the setting of integer-valued variables, as well as rational-valued (or real-valued) variables¹. Here is an example of this loop representation (a formal definition is in Section 2); primed variables x', y', \dots refer to the state following the transition.

$$\text{while } (x \geq -z) \text{ do } x' = x + y, y' = y + z, z' = z - 1 \quad (1)$$

Note that by $x' = x + y$ we mean an equation, not an assignment statement; it is a standard procedure to compile sequential code into such equations (if the operations used are linear), or to approximate it using various techniques.

This constraint representation may be extended to represent branching in the loop body, a so-called *multiple-path loop*; in the current work we do not consider such loops. However, *SLC* loops are important already, in particular in approaches that reduce a question about a whole program to questions about simple loops [15, 19, 12, 9, 10]; see [21] for references that show the importance of +such loops in other fields. We assume

¹For the results in this paper, the real-number case is equivalent to the rational-number case, and in the sequel we refer just to rationals.

the “constraint loop” to be given, and do not concern ourselves with the orthogonal topic of extracting a loop representation from an actual program (note that in some applications, such as analyzing dynamical systems of various kinds, we may start not with a computer program but with a model, expressed by its creator as a set of constraints).

Types of ranking functions. Several types of ranking functions have been suggested; linear ranking functions (LRFs) are probably the most widely used and well-understood. In this case, we seek a function $f(x_1, \dots, x_n) = a_1x_1 + \dots + a_nx_n + a_0$, with the rationals as a co-domain, such that (i) $f(\bar{x}) \geq 0$ for any valuation \bar{x} that satisfies the loop constraints (i.e., an enabled state); and (ii) $f(\bar{x}) - f(\bar{x}') \geq 1$ for any transition leading from \bar{x} to \bar{x}' . Technically, the rationals are not a well-founded set under the usual order, but we can refer to the partial order $a \succeq b$ if and only if $a \geq 0$ and $a \geq b + 1$, which is well-founded. Given a linear-constraint loop, it is possible to find a linear ranking function (if one exists) using linear programming (*LP*). This method was found by multiple researchers in different places and times and in some alternative versions [13, 25, 8, 22]. Since *LP* has a polynomial-time complexity, most of these methods yield polynomial-time algorithms. This method is sound (any ranking function produced is valid), and complete (if there is a ranking function, it will find one), when variables are assumed to range over the rationals. When variables range over the integers, treating the domain as \mathbb{Q} is safe, but completeness is not guaranteed. Consider the following loop:

$$\text{while } (x_2 - x_1 \leq 0, x_1 + x_2 \geq 1) \text{ do } x'_2 = x_2 - 2x_1 + 1, x'_1 = x_1 \quad (2)$$

and observe that it does not terminate over the rationals at all (try $x_1 = x_2 = \frac{1}{2}$); but it has a *LRF* that is valid for all integer valuations, e.g., $f(x_1, x_2) = x_1 + x_2$. Several authors noted this issue, and finally the complexity of a complete solution for the integers was settled by [4], who proved that the detection problem is *coNP-complete* and gave matching algorithms.

However, not all terminating loops have a LRF; and to handle more loops, one may resort to an argument that combines several LRFs to capture a more complex behavior. Two types of such behavior that re-occur in the literature on termination are lexicographic ranking and multiphase ranking.

Lexicographic ranking. One can prove the termination of a loop by considering a tuple, say a pair $\langle f_1, f_2 \rangle$ of linear functions, such that either f_1 decreases, or f_1 does not change and f_2 decreases. There are some variants of the definition [5, 2, 4, 17] regarding whether both functions have to be non-negative at all times, or “just when necessary.” The most permissive definition allows any component to be negative, and technically, it ranks states in the lexicographic extension of the order \succeq mentioned above. We refer

to this class as *LLRFs*, and are only aware of one work where this class is used in its full generality [17]. For example, the following loop

$$\text{while } (x \geq 0, y \leq 10, z \geq 0, z \leq 1) \text{ do } x' = x + y + z - 10, y' = y + z, z' = 1 - z \quad (3)$$

has the *LLRF* $\langle 4y, 4x - 4z + 1 \rangle$, which is valid only according to the definition of [17], since it allows the first component to be negative for transitions that are ranked by the second component.

Multiphase ranking. Consider loop (1) above. Clearly, the loop goes through three phases — in the first, z descends, while the other variables may increase; in the second (which begins once z becomes negative), y decreases; in the last phase (beginning when y becomes negative), x decreases. Note that since there is no lower bound on y or on z , they cannot be used in a *LRF*; however, each phase is clearly finite, as it is associated with a value that is non-negative and decreasing during that phase. In other words, each phase is linearly ranked. We shall say that this loop has the *multiphase ranking function* (*MΦRF*) $\langle z + 1, y + 1, x \rangle$. The general definition (Section 2) allows for an arbitrary number d of linear components; we refer to d as *depth*, intuitively it is the number of phases.

Some loops have multiphase behavior which is not so evident as in the last example. Consider the following loop, that we will discuss further in Section 6, with *MΦRF* $\langle x - 4y, x - 2y, x - y \rangle$

$$\text{while } (x \geq 1, y \geq 1, x \geq y, 4y \geq x) \text{ do } x' = 2x, y' = 3y \quad (4)$$

Technically, under which ordering is a *MΦRF* a ranking function? It is quite easy to see that the pairs used in the examples above descend in the lexicographic extension of \succeq . This means that *MΦRFs* are a sub-class of *LLRFs*. Note that, intuitively, a lexicographic ranking function also has “phases”, namely, steps where the first component decreases, steps where the second component decreases, etc.; but these phases may alternate an unbounded number of times.

Complete solutions and complexity. Complete solutions for *MΦRFs* (over the rationals) appear in [18, 20]. Both use non-linear constraint solving, and therefore do not achieve a polynomial time complexity. [3] study “eventual linear ranking functions,” which are *MΦRFs* of depth 2, and pose the question of a polynomial-time solution as an open problem, as well as the problem of a complete solution for the integers.

In this paper, we provide complete solutions to the existence and synthesis problems for both *MΦRFs* and *LLRFs*, for rational and integer *SLC* loops, where the algorithm is parameterized by a depth bound. Over the rationals, the decision problem is PTIME

and the synthesis can be done in polynomial time; over the integers, the existence problem is coNP -complete, and our synthesis procedure is deterministic exponential-time.

While such algorithms would be a contribution in itself, we find it even more interesting that our results are mostly based on discovering unexpected *equivalences* between classes of ranking functions. We prove two such results: Theorem 4.4 in Section 4 shows that *LLRFs* are not stronger than *MΦRFs* for *SLC* loops. Thus, the complete solution for *LLRFs* is just to solve for *MΦRFs* (for the loop (3), we find the *MΦRF* $\langle 4y + x - z, 4x - 4z + 4 \rangle$). Theorem 3.4 in Section 3 shows that one can further reduce the search for *MΦRFs* to a proper sub-class, called *nested MΦRFs*. This class was introduced in [18] because its definition is simpler and allows for a polynomial-time solution (over \mathbb{Q}). Thus, our equivalence result immediately implies a polynomial-time solution for *MΦRFs*.

Our complete solution for the *integers* is also a reduction—transforming the problem so that solving over the rationals cannot give false alarms. The transformation consists of computing the *integer hull* of the transition polyhedron. This transformation is well-known in the case of *LLRFs* [13, 11, 4], so it was a natural approach to try, however its proof in the case of *MΦRFs* is more involved.

We also make a contribution towards the use of *MΦRFs* in deriving *iteration bounds*. As the loop (1) demonstrates, it is possible for the variables that control subsequent phases to grow (at a polynomial rate) during the first phase. Nonetheless, we prove that *any MΦRF implies a linear bound on the number of iterations* for a *SLC* loop (in terms of the initial values of the variables). Thus, it is also the case that any *LLRF* implies a linear bound.

An open problem raised by our work is whether one can precompute a bound on the depth of a *MΦRF* for a given loop (if there is one); for example [4] prove a depth bound of n (the number of variables) on their notion of *LLRFs* (which is more restrictive); however their class is known to be weaker than *MΦRFs* and *LLRFs*. In Section 6 we discuss this problem.

The rest of this article is organized as follows. Section 2 gives precise definitions and some technical background necessary for this work. Sections 3 and 4 give our equivalence results for different types of ranking functions (over the rationals) and the algorithmic implications. Section 5 covers the integer setting, Section 6 discusses depth bounds, Section 7 discusses the iteration bound, and Section 8 concludes.

2 Preliminaries

In this section we give the fundamental definitions for this paper: we define the class of loops we study, the type of ranking functions, and recall some definitions regarding (integer) polyhedra. We also mention some important properties of these definitions.

2.1 Single-Path Linear-Constraint Loops

A *single-path* linear-constraint loop (*SLC* for short) over n variables x_1, \dots, x_n has the form

$$\text{while } (B\mathbf{x} \leq \mathbf{b}) \text{ do } A \begin{pmatrix} \mathbf{x} \\ \mathbf{x}' \end{pmatrix} \leq \mathbf{c} \quad (5)$$

where $\mathbf{x} = (x_1, \dots, x_n)^\top$ and $\mathbf{x}' = (x'_1, \dots, x'_n)^\top$ are column vectors, and for some $p, q > 0$, $B \in \mathbb{Q}^{p \times n}$, $A \in \mathbb{Q}^{q \times 2n}$, $\mathbf{b} \in \mathbb{Q}^p$, $\mathbf{c} \in \mathbb{Q}^q$. The constraint $B\mathbf{x} \leq \mathbf{b}$ is called *the loop condition* (a.k.a. the loop guard) and the other constraint is called *the update*. We say that the loop is a *rational loop* if \mathbf{x} and \mathbf{x}' range over \mathbb{Q}^n , and that it is an *integer loop* if they range over \mathbb{Z}^n . One could also allow variables to take any real-number values, but as long as the constraints are expressed by rational numbers this makes no difference from the rational case.

We say that there is a transition from a state $\mathbf{x} \in \mathbb{Q}^n$ to a state $\mathbf{x}' \in \mathbb{Q}^n$, if \mathbf{x} satisfies the condition and \mathbf{x} and \mathbf{x}' satisfy the update. A transition can be seen as a point $\begin{pmatrix} \mathbf{x} \\ \mathbf{x}' \end{pmatrix} \in \mathbb{Q}^{2n}$, where its first n components correspond to \mathbf{x} and its last n components to \mathbf{x}' . For ease of notation, we denote $\begin{pmatrix} \mathbf{x} \\ \mathbf{x}' \end{pmatrix}$ by \mathbf{x}'' . The set of all transitions $\mathbf{x}'' \in \mathbb{Q}^{2n}$, of a given *SLC* loop, will be denoted by \mathcal{Q} and is specified by the set of inequalities $A''\mathbf{x}'' \leq \mathbf{c}''$ where

$$A'' = \begin{pmatrix} B & 0 \\ & A \end{pmatrix} \quad \mathbf{c}'' = \begin{pmatrix} \mathbf{b} \\ \mathbf{c} \end{pmatrix}$$

We call \mathcal{Q} *the transition polyhedron* (for definitions regarding polyhedra see Sect. 2.3). For the purpose of this article, the essence of the loop is this polyhedron, even if the loop is presented in a more readable form as (5).

2.2 Multi-Phase Ranking Functions

An affine function $f : \mathbb{Q}^n \rightarrow \mathbb{Q}$ is of the form $f(\mathbf{x}) = \vec{a} \cdot \mathbf{x} + a_0$ where $\vec{a} \in \mathbb{Q}^n$ is a row vector and $a_0 \in \mathbb{Q}$. For a given function f , we define the function $\Delta f : \mathbb{Q}^{2n} \mapsto \mathbb{Q}$ as $\Delta f(\mathbf{x}'') = f(\mathbf{x}) - f(\mathbf{x}')$.

Definition 2.1 ($M\Phi RF$). Given a set of transitions $T \subseteq \mathbb{Q}^{2n}$, we say that $\tau = \langle f_1, \dots, f_d \rangle$ is a $M\Phi RF$ (of depth d) for T if for every $\mathbf{x}'' \in T$ there is an index $i \in [1, d]$ such that:

$$\forall j \leq i . \Delta f_j(\mathbf{x}'') \geq 1, \quad (6)$$

$$f_i(\mathbf{x}) \geq 0, \quad (7)$$

$$\forall j < i . f_j(\mathbf{x}) \leq 0. \quad (8)$$

We say that \mathbf{x}'' is *ranked by* f_i (for the minimal such i).

It is not hard to see that this definition, for $d = 1$, means that f_1 is a linear ranking function, and for $d > 1$, it implies that as long as $f_1(\mathbf{x}) \geq 0$, transition \mathbf{x}'' must be ranked by f_1 , and when $f_1(\mathbf{x}) < 0$, $\langle f_2, \dots, f_d \rangle$ becomes a $M\Phi RF$. This agrees with the intuitive notion of a “phases.” We further note that, for loops specified by polyhedra, making the inequality (8) strict results in the same class of ranking functions (we chose the definition that is easier to work with), and, similarly, we can replace (6) by $\Delta f_j(\mathbf{x}'') > 0$, obtaining an equivalent definition (up to multiplication of the f_i by some constants). We say that τ is *irredundant* if removing any component invalidates the $M\Phi RF$. Finally, it is convenient to allow an empty tuple as a $M\Phi RF$ for the empty set.

The decision problem *Existence of a $M\Phi RF$* asks to determine whether a given *SLC* loop admits a $M\Phi RF$. We denote this problem by $EM\Phi RF(\mathbb{Q})$ and $EM\Phi RF(\mathbb{Z})$ for rational and integer loops respectively. The *bounded* decision problem, denoted by $BM\Phi RF(\mathbb{Q})$ and $BM\Phi RF(\mathbb{Z})$, restricts the search to $M\Phi RF$ s of depth at most d , where the parameter d is part of the input.

2.3 Polyhedra

A *rational convex polyhedron* $\mathcal{P} \subseteq \mathbb{Q}^n$ (*polyhedron* for short) is the set of solutions of a set of inequalities $A\mathbf{x} \leq \mathbf{b}$, namely $\mathcal{P} = \{\mathbf{x} \in \mathbb{Q}^n \mid A\mathbf{x} \leq \mathbf{b}\}$, where $A \in \mathbb{Q}^{m \times n}$ is a rational matrix of n columns and m rows, $\mathbf{x} \in \mathbb{Q}^n$ and $\mathbf{b} \in \mathbb{Q}^m$ are column vectors of n and m rational values respectively. We say that \mathcal{P} is specified by $A\mathbf{x} \leq \mathbf{b}$. If $\mathbf{b} = \mathbf{0}$, then \mathcal{P} is a *cone*. The set of *recession directions* of a polyhedron \mathcal{P} specified by $A\mathbf{x} \leq \mathbf{b}$, also known as its *recession cone*, is the set $\mathbf{rec.cone}(\mathcal{P}) = \{\mathbf{y} \in \mathbb{Q}^n \mid A\mathbf{y} \leq \mathbf{0}\}$.

For a given polyhedron $\mathcal{P} \subseteq \mathbb{Q}^n$ we let $I(\mathcal{P})$ be $\mathcal{P} \cap \mathbb{Z}^n$, i.e., the set of integer points of \mathcal{P} . The *integer hull* of \mathcal{P} , commonly denoted by \mathcal{P}_I , is defined as the convex hull of $I(\mathcal{P})$, i.e., every rational point of \mathcal{P}_I is a convex combination of integer points. It is known that \mathcal{P}_I is also a polyhedron, and that $\mathbf{rec.cone}(\mathcal{P}) = \mathbf{rec.cone}(\mathcal{P}_I)$. An *integer polyhedron* is a polyhedron \mathcal{P} such that $\mathcal{P} = \mathcal{P}_I$. We also say that \mathcal{P} is *integral*.

Polyhedra also have a *generator representation* in terms of vertices and rays, written as $\mathcal{P} = \text{conv.hull}\{\mathbf{x}_1, \dots, \mathbf{x}_m\} + \text{cone}\{\mathbf{y}_1, \dots, \mathbf{y}_t\}$. This means that $\mathbf{x} \in \mathcal{P}$ iff $\mathbf{x} =$

$\sum_{i=1}^m a_i \cdot \mathbf{x}_i + \sum_{j=1}^t b_j \cdot \mathbf{y}_j$ for some rationals $a_i, b_j \geq 0$, where $\sum_{i=1}^m a_i = 1$. Note that $\mathbf{y}_1, \dots, \mathbf{y}_t$ are the recession directions of \mathcal{P} , i.e., $\mathbf{y} \in \text{rec.cone}(\mathcal{P})$ iff $\mathbf{y} = \sum_{j=1}^t b_j \cdot \mathbf{y}_j$ for some rationals $b_j \geq 0$. If \mathcal{P} is integral, then there is a generator representation in which all \mathbf{x}_i and \mathbf{y}_j are integer.

Next we state some lemmas that are fundamental for many proofs in this article. Given a polyhedron \mathcal{P} , the lemmas show that if a disjunction of constraints of the form $f_i > 0$, or $f_i \geq 0$, holds over \mathcal{P} , then a certain conic combination of these functions is positive (or non-negative) over \mathcal{P} . This generalizes Lemma 1 of [16]. The lemmas are all very similar, but vary in the use strict or non-strict inequalities.

LEMMA 2.2. *Given a non-empty polyhedron \mathcal{P} , and linear functions f_1, \dots, f_k such that*

$$(i) \quad \mathbf{x} \in \mathcal{P} \rightarrow f_1(\mathbf{x}) > 0 \vee \dots \vee f_{k-1}(\mathbf{x}) > 0 \vee f_k(\mathbf{x}) \geq 0$$

$$(ii) \quad \mathbf{x} \in \mathcal{P} \not\rightarrow f_1(\mathbf{x}) > 0 \vee \dots \vee f_{k-1}(\mathbf{x}) > 0$$

There exist non-negative constants μ_1, \dots, μ_{k-1} such that

$$\mathbf{x} \in \mathcal{P} \rightarrow \mu_1 f_1(\mathbf{x}) + \dots + \mu_{k-1} f_{k-1}(\mathbf{x}) + f_k(\mathbf{x}) \geq 0.$$

Proof. Let \mathcal{P} be $B\mathbf{x} \leq \mathbf{c}$, $f_i = \vec{a}_i \cdot \mathbf{x} - b_i$, then (i) is equivalent to infeasibility of

$$B\mathbf{x} \leq \mathbf{c} \wedge A\mathbf{x} \leq \mathbf{b} \wedge \vec{a}_k \cdot \mathbf{x} < b_k \quad (9)$$

where A consists of the $k-1$ rows \vec{a}_i , and \mathbf{b} of corresponding b_i . However, $B\mathbf{x} \leq \mathbf{c} \wedge A\mathbf{x} \leq \mathbf{b}$ is assumed to be feasible.

According to Motzkin's transposition theorem [24, Corollary 7.1k, Page 94], this implies that there are row vectors $\vec{\lambda}, \vec{\lambda}' \geq 0$ and a constant $\mu \geq 0$ such that the following is true:

$$\vec{\lambda}B + \vec{\lambda}'A + \mu a_k = 0 \wedge \vec{\lambda}\mathbf{c} + \vec{\lambda}'\mathbf{b} + \mu b_k \leq 0 \wedge (\mu \neq 0 \vee \vec{\lambda}\mathbf{c} + \vec{\lambda}'\mathbf{b} + \mu b_k < 0) \quad (10)$$

Now, if (10) is true, then for all $\mathbf{x} \in \mathcal{P}$,

$$\begin{aligned} \left(\sum_i \lambda'_i f_i(\mathbf{x})\right) + \mu f_k(\mathbf{x}) &= \vec{\lambda}'A\mathbf{x} - \vec{\lambda}'\mathbf{b} + \mu a_k \mathbf{x} - \mu b_k \\ &= -\vec{\lambda}B\mathbf{x} - \vec{\lambda}'\mathbf{b} - \mu b_k \geq -\vec{\lambda}\mathbf{c} - \vec{\lambda}'\mathbf{b} - \mu b_k \geq 0 \end{aligned}$$

where if $\mu = 0$, the last inequality must be strict. However, if $\mu = 0$, then $\vec{\lambda}B + \vec{\lambda}'A = 0$, so by feasibility of $B\mathbf{x} \leq \mathbf{c}$ and $A\mathbf{x} \leq \mathbf{b}$, this implies $\vec{\lambda}\mathbf{c} + \vec{\lambda}'\mathbf{b} \geq 0$, a contradiction. Thus, $(\sum_i \lambda'_i f_i) + \mu f_k \geq 0$ on \mathcal{P} and $\mu > 0$. Dividing by μ we obtain the conclusion of the lemma. \square

LEMMA 2.3. *Given a non-empty polyhedron \mathcal{P} , and linear functions f_1, \dots, f_k such that*

$$(i) \quad \mathbf{x} \in \mathcal{P} \rightarrow f_1(\mathbf{x}) \geq 0 \vee \dots \vee f_k(\mathbf{x}) \geq 0$$

$$(ii) \quad \mathbf{x} \in \mathcal{P} \not\rightarrow f_1(\mathbf{x}) \geq 0 \vee \dots \vee f_{k-1}(\mathbf{x}) \geq 0$$

There exists non-negative constants μ_1, \dots, μ_{k-1} such that

$$\mathbf{x} \in \mathcal{P} \rightarrow \mu_1 f_1(\mathbf{x}) + \dots + \mu_{k-1} f_{k-1}(\mathbf{x}) + f_k(\mathbf{x}) \geq 0.$$

Proof. Let \mathcal{P} be $B\mathbf{x} \leq \mathbf{c}$, $f_i = \vec{a}_i \mathbf{x} - b_i$, then (i) is equivalent to infeasibility of $B\mathbf{x} \leq \mathbf{c} \wedge A\mathbf{x} < \mathbf{b}$. According to Motzkin's transposition theorem, this implies that there are row vectors $\vec{\lambda}, \vec{\mu} \geq 0$ such that the following is true:

$$\vec{\lambda}B + \vec{\mu}A = 0 \wedge \vec{\lambda}\mathbf{c} + \vec{\mu}\mathbf{b} \leq 0 \quad \wedge (\vec{\mu} \neq 0 \vee \vec{\lambda}\mathbf{c} + \vec{\mu}\mathbf{b} < 0) \quad (11)$$

Now, if (11) is true, then for all $\mathbf{x} \in \mathcal{P}$,

$$\sum_i \mu_i f_i(\mathbf{x}) = \vec{\mu}A\mathbf{x} - \vec{\mu}\mathbf{b} = -\vec{\lambda}B\mathbf{x} - \vec{\mu}\mathbf{b} \geq -\vec{\lambda}\mathbf{c} - \vec{\mu}\mathbf{b} \geq 0$$

where if $\vec{\mu} = 0$, the last inequality must be strict. However, if $\vec{\mu} = 0$, then $\vec{\lambda}B = 0$, so by feasibility of \mathcal{P} and feasibility of $B\mathbf{x} \leq \mathbf{c}$ and $A\mathbf{x} \leq \mathbf{b}$, this implies $\vec{\lambda}\mathbf{c} \geq 0$, a contradiction. Thus, $\sum_i \mu_i f_i \geq 0$ on \mathcal{P} and $\vec{\mu} \neq 0$. Based on assumption (ii), such a combination must include f_k with a positive coefficient, and therefore can be normalized to the stated form. \square

3 Complexity of Synthesis of $M\Phi$ RFs over the Rationals

In this section we study the complexity of deciding if a given rational *SLC* loop has a $M\Phi$ RF of depth d , and show that this can be done in polynomial time. These results follow from an equivalence between $M\Phi$ RFs and a sub-class called *nested ranking functions* [18]. In the rest of this article we assume a given *SLC* loop specified by a transition polyhedron \mathcal{Q} . The complexity results assume a constraint representation for \mathcal{Q} , as in Section 2.1.

Definition 3.1. A d -tuple $\tau = \langle f_1, \dots, f_d \rangle$ is a *nested ranking function* for \mathcal{Q} if the following requirements are satisfied for all $\mathbf{x}'' \in \mathcal{Q}$

$$f_d(\mathbf{x}) \geq 0 \tag{12}$$

$$(\Delta f_i(\mathbf{x}'') - 1) + f_{i-1}(\mathbf{x}) \geq 0 \quad \text{for all } i = 1, \dots, d. \tag{13}$$

where for uniformity we define $f_0 \equiv 0$.

It is easy to see that a nested ranking function is a $M\Phi$ RF. Indeed, f_1 is decreasing, and when it becomes negative f_2 starts to decrease, etc. In addition, the loop must stop by the time that the last component becomes negative, since f_d is non-negative on all enabled states.

EXAMPLE 3.2. Consider loop (1) (on Page 2). It has the $M\Phi$ RF $\langle z + 1, y + 1, x \rangle$ which is not nested because, among other things, last component x might be negative, e.g., for the state $x = -1, y = 0, z = 1$. However, it has the nested ranking function $\langle z + 1, y + 1, z + x \rangle$, which is $M\Phi$ RF.

The above example shows that there are $M\Phi$ RFs which are not nested ranking functions, however, next we show that if a loop has a $M\Phi$ RF then it has (possibly different) nested ranking function of the same depth. We first state an auxiliary lemma, and then prove the main result.

LEMMA 3.3. Let $\tau = \langle f_1, \dots, f_d \rangle$ be an irredundant $M\Phi$ RF for \mathcal{Q} , such that $\langle f_2, \dots, f_d \rangle$ is a nested ranking function for $\mathcal{Q}' = \mathcal{Q} \cap \{\mathbf{x}'' \in \mathbb{Q}^{2n} \mid f_1(\mathbf{x}) \leq 0\}$. Then there is a nested ranking function of depth d for \mathcal{Q} .

Proof. First recall that, by definition of $M\Phi$ RF, we have $\Delta f_1(\mathbf{x}'') \geq 1$ for any $\mathbf{x}'' \in \mathcal{Q}$, and since $\langle f_2, \dots, f_d \rangle$ is a nested ranking function for \mathcal{Q}' we have

$$\begin{aligned} \mathbf{x}'' \in \mathcal{Q}' &\rightarrow f_d(\mathbf{x}) \geq 0 \\ \mathbf{x}'' \in \mathcal{Q}' &\rightarrow (\Delta f_2(\mathbf{x}'') - 1) + f_0(\mathbf{x}'') \geq 0 \wedge \\ &\quad (\Delta f_3(\mathbf{x}'') - 1) + f_2(\mathbf{x}'') \geq 0 \wedge \\ &\quad \vdots \\ &\quad (\Delta f_d(\mathbf{x}'') - 1) + f_{d-1}(\mathbf{x}'') \geq 0 \end{aligned} \tag{14}$$

Next we construct a nested ranking function $\langle f'_1, \dots, f'_d \rangle$ for \mathcal{Q} , i.e., such that (12) is satisfied for f'_d , and (13) is satisfied for each f'_i and f'_{i-1} — we refer to the instance of (13) for a specific i as (13_i) .

We start with the condition (12). If f_d is non-negative over \mathcal{Q} we let $f'_d = f_d$, otherwise, clearly

$$\mathbf{x}'' \in \mathcal{Q} \rightarrow f_d(\mathbf{x}) \geq 0 \vee f_1(\mathbf{x}) > 0.$$

Then, by Lemma 2.2 there is a constant $\mu_d > 0$ such that

$$\mathbf{x}'' \in \mathcal{Q} \rightarrow f_d(\mathbf{x}) + \mu_d f_1(\mathbf{x}) \geq 0$$

and we define $f'_d(\mathbf{x}) = f_d(\mathbf{x}) + \mu_d f_1(\mathbf{x})$. Clearly (12) holds for f'_d .

Next, we handle the conditions (13_i) for $i = d, \dots, 3$ in this order. When we handle condition (13_i), we shall define $f'_{i-1}(\mathbf{x}) = f_{i-1}(\mathbf{x}) + \mu_{i-1} f_1(\mathbf{x})$ for some $\mu_{i-1} \geq 0$. Note that f'_d has this form as well.

Suppose we have computed f'_d, \dots, f'_i . We show how to ensure that (13_i) holds over \mathcal{Q} by constructing f'_{i-1} . From (14) we know that

$$\mathbf{x}'' \in \mathcal{Q}' \rightarrow (\Delta f_i(\mathbf{x}'') - 1) + f_{i-1}(\mathbf{x}'') \geq 0.$$

Now since $f'_i(\mathbf{x}) = f_i(\mathbf{x}) + \mu_i f_1(\mathbf{x})$, and $\Delta f_1(\mathbf{x}'') \geq 1$ over \mathcal{Q} , we have

$$\mathbf{x}'' \in \mathcal{Q}' \rightarrow (\Delta f'_i(\mathbf{x}'') - 1) + f_{i-1}(\mathbf{x}'') \geq 0.$$

Now if $(\Delta f'_i(\mathbf{x}'') - 1) + f_{i-1}(\mathbf{x}'') \geq 0$ holds over \mathcal{Q} as well, we let $f'_{i-1} = f_{i-1}$. Otherwise, we have

$$\mathbf{x}'' \in \mathcal{Q} \rightarrow (\Delta f'_i(\mathbf{x}'') - 1) + f_{i-1}(\mathbf{x}) \geq 0 \vee f_1(\mathbf{x}) > 0,$$

and by Lemma 2.2 there is $\mu_{i-1} > 0$ such that

$$\mathbf{x}'' \in \mathcal{Q} \rightarrow (\Delta f'_i(\mathbf{x}'') - 1) + f_{i-1}(\mathbf{x}) + \mu_{i-1} f_1(\mathbf{x}) \geq 0.$$

In this case, we let $f'_{i-1}(\mathbf{x}) = f_{i-1}(\mathbf{x}) + \mu_{i-1} f_1(\mathbf{x})$. Clearly (13_i) holds.

Next we proceed to (13₂). From (14) we know that

$$\mathbf{x}'' \in \mathcal{Q}' \rightarrow (\Delta f_2(\mathbf{x}'') - 1) + f_1(\mathbf{x}'') \geq 0.$$

Since $f'_2 = f_2 + \mu_2 f_1$ and $\Delta f_1(\mathbf{x}'') \geq 1$ we have

$$\mathbf{x}'' \in \mathcal{Q}' \rightarrow (\Delta f'_2(\mathbf{x}'') - 1) + f_1(\mathbf{x}'') \geq 0.$$

Next, by definition of \mathcal{Q}' and the lemma's assumption we have

$$\mathbf{x}'' \in \mathcal{Q} \rightarrow (\Delta f'_2(\mathbf{x}'') - 1) \geq 0 \vee f_1(\mathbf{x}) > 0$$

and we also know that $(\Delta f'_2(\mathbf{x}'') - 1) \geq 0$ does not hold over \mathcal{Q} , because then f_1 would be redundant. Now by Lemma 2.2 there is $\mu_1 > 0$ such that

$$\mathbf{x}'' \in \mathcal{Q} \rightarrow (\Delta f'_2(\mathbf{x}'') - 1) + \mu_1 f_1(\mathbf{x}) \geq 0.$$

We let $f'_1(\mathbf{x}) = \mu_1 f_1(\mathbf{x})$. For (13₁) we need to show that $\Delta f'_1(\mathbf{x}'') - 1 \geq 0$ holds over \mathcal{Q} , which is clearly true if $\mu_1 \geq 1$ since $\Delta f_1 \geq 1$, otherwise we multiply all f'_i by $\frac{1}{\mu_1}$ which does not affect any (13_i) and makes (13₁) true. \square

THEOREM 3.4. *If \mathcal{Q} has a $M\Phi RF$ of depth d , then it has a nested ranking function of depth at most d .*

Proof. The proof is by induction on d . We assume a $M\Phi RF$ $\langle f_1, \dots, f_d \rangle$ for \mathcal{Q} . For $d = 1$ there is no difference between a general $M\Phi RF$ and a nested one. For $d > 1$, we consider $\langle f_2, \dots, f_d \rangle$ as a $M\Phi RF$ for $\mathcal{Q}' = \mathcal{Q} \cap \{\mathbf{x}'' \in \mathbb{Q}^{2n} \mid f_1(\mathbf{x}) \leq 0\}$, we apply the induction hypothesis to turn $\langle f_2, \dots, f_d \rangle$ into a nested ranking function. Either f_1 becomes redundant, or we can apply Lemma 3.3. \square

The above theorem give us a complete algorithm for the synthesis of $M\Phi RF$ s of a given depth d for \mathcal{Q} , i.e., for rational SLC loops, namely, we synthesize a nested ranking function.

THEOREM 3.5. $BM\Phi RF(\mathbb{Q}) \in \text{PTIME}$.

Proof. We describe, in some detail, how to synthesize a nested ranking function in polynomial time (this actually appears in [18]). Due to Theorem 3.4, this yields a complete decision procedure for $M\Phi RF$ s. Given \mathcal{Q} , our goal is to find f_1, \dots, f_d such that (12,13) hold. If we take just one of the conjuncts, our task is to find coefficients for the functions involved (f_d , or f_i and f_{i-1}), such that the desired inequality is implied by \mathcal{Q} . Using Farkas' lemma [24], this problem can be formulated as a LP problem, where the coefficients we seek are unknowns. By conjoining all these LP problems, we obtain a single LP problem, of polynomial size, whose solution—if there is one—provides the coefficients of all f_i ; and if there is no solution, then no nested ranking function exists. Since LP is polynomial-time, this procedure has polynomial time complexity. \square

Clearly, if d is considered as constant, then $BM\Phi RF(\mathbb{Q})$ is polynomial in the bit-size of the input \mathcal{Q} . When considering d as variable, then the complexity is polynomial in the bit-size of \mathcal{Q} plus d —equivalently, it is polynomial in the bit-size of the input if we assume that d is given in unary representation (which is a reasonable assumption since d describes the number of components of the $M\Phi RF$ sought). The same observation applies to our classification of $BM\Phi RF(\mathbb{Z})$ (Section 5).

4 Multiphase vs Lexicographic-Linear Ranking Functions

$M\Phi$ RFs are similar to $LLRF$ s, and a natural question is: which one is more powerful for proving termination of SLC loops? In this section we show that they have the same power, by proving that an SLC has a $M\Phi$ RF if and only if it has a $LLRF$. We first note that there are several definitions for $LLRF$ s [5, 2, 4, 17]. The following is the most general one [17].

Definition 4.1. Given a set of transitions $T \subseteq \mathbb{Q}^{2n}$, we say that $\langle f_1, \dots, f_d \rangle$ is a $LLRF$ (of depth d) for T if for every $\mathbf{x}'' \in T$ there is an index i such that:

$$\forall j < i . \Delta f_j(\mathbf{x}'') \geq 0, \quad (15)$$

$$\Delta f_i(\mathbf{x}'') \geq 1, \quad (16)$$

$$f_i(\mathbf{x}) \geq 0, \quad (17)$$

We say that \mathbf{x}'' is *ranked by f_i* (for the minimal such i).

Regarding other definitions: [4] requires (17) to hold for all f_j with $j \leq i$, and [2] requires (17) to hold for all components. They are clearly more restrictive. Actually [2] shows that an SLC loop has a $LLRF$ according to their definition if and only if it has a LRF , which is not the case of [4]. The definition of [5] is equivalent to a LRF when considering SLC loops, as their main interest is in multipath loops.

It is easy to see that a $M\Phi$ RF is also a $LLRF$ as in Definition 4.1. Next we show that for SLC loops any $LLRF$ can be converted to a $M\Phi$ RF, proving that these classes of ranking functions have the same power for SLC loops. We start with an auxiliary lemma.

LEMMA 4.2. *Let f be a non-negative linear function over \mathcal{Q} . If $\mathcal{Q}' = \mathcal{Q} \cap \{\mathbf{x}'' \mid \Delta f(\mathbf{x}'') \leq 0\}$ has a $M\Phi$ RF of depth d , then \mathcal{Q} has a $M\Phi$ RF of depth at most $d + 1$.*

Proof. Note that simply appending f to a $M\Phi$ RF τ of \mathcal{Q}' does not always produce a $M\Phi$ RF, since the components of τ are not guaranteed to decrease over $\mathcal{Q} \setminus \mathcal{Q}'$. Let $\tau = \langle g_1, \dots, g_d \rangle$ be a $M\Phi$ RF for \mathcal{Q}' , we show how to construct a $M\Phi$ RF $\langle g'_1, \dots, g'_d, f \rangle$. If g_1 is decreasing over \mathcal{Q} , we define $g'_1(\mathbf{x}) = g_1(\mathbf{x})$, otherwise we have

$$\mathbf{x}'' \in \mathcal{Q} \rightarrow \Delta f(\mathbf{x}'') > 0 \vee \Delta g_1(\mathbf{x}'') \geq 1,$$

then by Lemma 2.2 we can construct $g'_1(\mathbf{x}) = g_1(\mathbf{x}) + \mu f(\mathbf{x})$ such that $\mathbf{x}'' \in \mathcal{Q} \rightarrow \Delta g'_1(\mathbf{x}'') \geq 1$. Moreover, since f is non-negative g'_1 is non-negative on the transitions

on which g_1 is non-negative. If $d > 1$, we proceed with $\mathcal{Q}^{(1)} = \mathcal{Q} \cap \{\mathbf{x}'' \mid g'_1(\mathbf{x}) \leq (-1)\}$. Note that these transitions must be ranked, in \mathcal{Q}' , by $\langle g_2, \dots, g_d \rangle$. If g_2 is decreasing over $\mathcal{Q}^{(1)}$, let $g'_2 = g_2$, otherwise

$$\mathbf{x}'' \in \mathcal{Q}^{(1)} \rightarrow \Delta f(\mathbf{x}'') > 0 \vee \Delta g_2(\mathbf{x}'') \geq 1,$$

and again by Lemma 2.2 we can construct the desired g'_2 . In general for any $j \leq d$ we construct g'_{j+1} such that $\Delta g'_{j+1} \geq 1$ over

$$\mathcal{Q}^{(j)} = \mathcal{Q} \cap \{\mathbf{x}'' \in \mathbb{Q}^{2n} \mid g'_1(\mathbf{x}) \leq (-1) \wedge \dots \wedge g'_j(\mathbf{x}) \leq (-1)\}$$

and $\mathbf{x}'' \in \mathcal{Q} \wedge g_j(\mathbf{x}) \geq 0 \rightarrow g'_j(\mathbf{x}) \geq 0$. Finally we define

$$\mathcal{Q}^{(d)} = \mathcal{Q} \cap \{\mathbf{x}'' \in \mathbb{Q}^{2n} \mid g'_1(\mathbf{x}) \leq (-1) \wedge g'_d(\mathbf{x}) \leq (-1)\},$$

each transition $\mathbf{x}'' \in \mathcal{Q}^{(d)}$ must satisfy $\Delta f(\mathbf{x}'') > 0$, and in such case $\Delta f(\mathbf{x}'')$ must have a minimum $c > 0$ since $\mathcal{Q}^{(d)}$ is a polyhedron. Without loss of generality we assume $c \geq 1$, otherwise take $\frac{1}{c}f$ instead of f . Now $\tau' = \langle g'_1 + 1, \dots, g'_d + 1, f \rangle$ is a $M\Phi$ RF for \mathcal{Q} . Note that if we arrive to $\mathcal{Q}^{(j)}$ that is empty, we can stop since we already have a $M\Phi$ RF. \square

In what follows, by a *weak LLRF* we mean the class of ranking functions obtained by changing condition (16) to $\Delta f_i(\mathbf{x}'') > 0$. Clearly it is more general than *LLRFs*, and as we will see next it suffices guarantees termination since we show how to convert them to $M\Phi$ RFs. We prefer to use this class as it simplifies the proof of the integer case that we present in Section 5.

LEMMA 4.3. *Let $\langle f_1, \dots, f_d \rangle$ be a weak LLRF for \mathcal{Q} . There is a linear function g that is positive over \mathcal{Q} , and decreasing on (at least) the same transitions of f_i , for some $1 \leq i \leq d$.*

Proof. If any f_i is positive over \mathcal{Q} , we take $g = f_i$. Otherwise, we have $\mathbf{x}'' \in \mathcal{Q} \rightarrow f_1(\mathbf{x}) \geq 0 \vee \dots \vee f_d(\mathbf{x}) \geq 0$ since every transition is ranked by some f_i . If this implication satisfies the conditions of Lemma 2.3 then we can construct $g(\mathbf{x}) = f_d(\mathbf{x}) + \sum_{i=1}^{d-1} \mu_i f_i(\mathbf{x})$ that is non-negative over \mathcal{Q} , and, moreover, decreases on the transitions that are ranked by f_d . If the conditions of Lemma 2.3 are not satisfied, then the second condition must be false, that is, $\mathbf{x}'' \in \mathcal{Q} \rightarrow f_1(\mathbf{x}) \geq 0 \vee \dots \vee f_{d-1}(\mathbf{x}) \geq 0$. Now we repeat the same reasoning as above for this implication. Eventually we either construct g that corresponds for some f_i as above, or we arrive to $\mathbf{x}'' \in \mathcal{Q} \rightarrow f_1(\mathbf{x}) \geq 0$, and then take $g = f_1$. \square

THEOREM 4.4. *If \mathcal{Q} has a weak $LLRF$ of depth d , it has a $M\Phi RF$ of depth d .*

Proof. Let $\langle f_1, \dots, f_d \rangle$ be a weak $LLRF$ for \mathcal{Q} . We show how to construct a corresponding $M\Phi RF$.

The proof is by induction on the depth d of the $LLRF$. For $d = 1$ it is clear since it is an LRF . Now let $d > 1$, by Lemma 4.3 we can find g that is positive over \mathcal{Q} and decreasing at least on the same transitions as f_i . Now $\langle f_1, \dots, f_{i-1}, f_{i+1}, f_d \rangle$ is a weak $LLRF$ of depth $d - 1$ for $\mathcal{Q}' = \mathcal{Q} \cap \{\mathbf{x}'' \mid \Delta g(\mathbf{x}'') \leq 0\}$. By the induction hypothesis we can construct a weak $M\Phi RF$ for \mathcal{Q}' of depth $d - 1$, and then by Lemma 4.2 we can lift this $M\Phi RF$ to one of depth d for \mathcal{Q} . \square

EXAMPLE 4.5. Let \mathcal{Q} be the transition polyhedron of the loop (3) (on Page 4), which admits the $LLRF$ $\langle 4y, 4x - 4z + 4 \rangle$, and note that it is not a $M\Phi RF$. Following the proof of above theorem, we can convert it to the $M\Phi RF$ $\langle 4y + x - z, 4x - 4z + 4 \rangle$.

5 $M\Phi RF$ s and $LLRF$ s Over the Integers

The procedure described in Section 3 for synthesizing $M\Phi RF$ s, i.e., use linear programming to synthesize a nested ranking function, is complete for rational loops but not for integer loops. That is because it might be the case that $I(\mathcal{Q})$ has a $M\Phi RF$ but \mathcal{Q} does not.

EXAMPLE 5.1. Consider the loop

while $(x_2 - x_1 \leq 0, x_1 + x_2 \geq 1, x_3 \geq 0)$ **do** $x'_2 = x_2 - 2x_1 + 1; x'_3 = x_3 + 10x_2 + 9$

When interpreted over the integers, this loop has the $M\Phi RF$ $\langle 10x_2, x_3 \rangle$. However, when interpreted over the rationals, the loop does not even terminate — consider the point $(\frac{1}{2}, \frac{1}{2}, 0)$.

For LRF s, completeness for the integer case was achieved by reducing the problem to the rational case, using the integer hull \mathcal{Q}_I [11, 4]. In fact, it is quite easy to see why this reduction works for LRF s, as the requirements that a LRF has to satisfy are a conjunction of linear inequalities and if they are satisfied by $I(\mathcal{Q})$, they will be satisfied by convex combinations of such points, i.e., \mathcal{Q}_I .

Since we have reduced the problem of finding a $M\Phi RF$ to finding a nested ranking function, and the requirements from a nested ranking function are conjunctions of linear inequalities that should be implied by \mathcal{Q} , it is tempting to assume that this argument applies also for $M\Phi RF$ s. However, to justify the use of nested functions, specifically in proving Lemma 3.3, we relied on Lemma 2.2, which we applied to \mathcal{Q} (it is quite easy

to see that the lemma fails if instead of quantifying over a polyhedron, one quantifies only on its integer points). This means that we did not prove that the existence of a $M\Phi RF$ for $I(\mathcal{Q})$ implies the existence of a nested ranking function over $I(\mathcal{Q})$. A similar observation also holds for the results of Section 4, where we proved that any (weak) $LLRF$ can be converted to a $M\Phi RF$. Those results are valid only for rational loops, since in the corresponding proofs we used Lemma 2.2.

In this section we show that reduction of the integer case to the rational one, via the integer hull, does work also for $M\Phi RF$ s, and for converting $LLRF$ s to $M\Phi RF$ s, thus extending the result of sections 3 and 4 to integer loops. We do so by showing that if $I(\mathcal{Q})$ has a $LLRF$, then \mathcal{Q}_I has a weak $LLRF$.

THEOREM 5.2. *Let $\langle f_1, f_2, \dots, f_d \rangle$ be a weak $LLRF$ for $I(\mathcal{Q})$. Then there are constants c_1, \dots, c_d such that $\langle f_1 + c_1, \dots, f_d + c_d \rangle$ is a weak $LLRF$ for \mathcal{Q}_I (over the rationals).*

Proof. The proof is by induction on d . The base case, $d = 1$, concerns a LRF , and as already mentioned, is trivial (and $c_1 = 0$). For $d > 1$, define:

$$\mathcal{Q}' = \mathcal{Q}_I \cap \{\mathbf{x}'' \in \mathbb{Q}^{2n} \mid f_1(\mathbf{x}) \leq -1\}, \quad (18)$$

$$\mathcal{Q}'' = \mathcal{Q}_I \cap \{\mathbf{x}'' \in \mathbb{Q}^{2n} \mid \Delta f_1(\mathbf{x}'') = 0\} \quad (19)$$

Note that \mathcal{Q}' includes only integer points of \mathcal{Q}_I that are not ranked at the first component, due to violating $f_1(\mathbf{x}) \geq 0$. By changing the first component into $f_1 + 1$, we take care of points where $-1 < f_1(\mathbf{x}) < 0$. Thus we will have that for every integer point $\mathbf{x}'' \in \mathcal{Q}$, if it is not in \mathcal{Q}' , then the first component is non-negative, and otherwise \mathbf{x}'' is ranked by $\langle f_2, \dots, f_d \rangle$. Similarly \mathcal{Q}'' includes all the integer points of \mathcal{Q}_I that are not ranked by the first component due to violating $\Delta f_1(\mathbf{x}'') > 0$. Note also that \mathcal{Q}'' is integral, since it is a face of \mathcal{Q}_I . On the other hand, \mathcal{Q}' is not necessarily integral, so we have to distinguish \mathcal{Q}'_I from \mathcal{Q}' . By the induction hypothesis there are

- c'_2, \dots, c'_d such that $\langle f_2 + c'_2, \dots, f_d + c'_d \rangle$ is a weak $LLRF$ for \mathcal{Q}'_I ; and
- c''_2, \dots, c''_d such that $\langle f_2 + c''_2, \dots, f_d + c''_d \rangle$ is a weak $LLRF$ for \mathcal{Q}''_I .

Next we prove that f_1 has a lower bound on $\mathcal{Q}_I \setminus \mathcal{Q}'_I$, i.e., there is a constant $c_1 \geq 1$ such that $f_1 + c_1$ is non-negative on this set. Before proceeding to the proof, note that this implies that

$$\langle f_1 + c_1, f_2 + \max(c'_2, c''_2), \dots, f_d + \max(c'_d, c''_d) \rangle$$

is a weak *LLRF* for \mathcal{Q}_I . To see this, take any rational $\mathbf{x}'' \in \mathcal{Q}_I$, then either \mathbf{x}'' is ranked by the first component, or $\mathbf{x}'' \in \mathcal{Q}''$ or $\mathbf{x}'' \in \mathcal{Q}'_I$; in the last two cases, it is ranked by a component $f_i + \max(c'_i, c''_i)$ for $i > 1$.

It remains to prove that f_1 has a lower bound on $\mathcal{Q}_I \setminus \mathcal{Q}'_I$. We assume that \mathcal{Q}'_I is non-empty, since otherwise, by the definition of \mathcal{Q}' , it is easy to see that $f_1 \geq -1$ over all of \mathcal{Q}_I . Thus, we consider \mathcal{Q}'_I in an irredundant constraint representation:

$$\mathcal{Q}'_I = \{\mathbf{x}'' \in \mathbb{Q}^{2n} \mid \vec{a}_i \cdot \mathbf{x}'' \leq b_i, \ i = 1, \dots, m\}, \quad (20)$$

and define

$$\mathcal{P}_i = \mathcal{Q}_I \cap \{\mathbf{x}'' \in \mathbb{Q}^{2n} \mid \vec{a}_i \cdot \mathbf{x}'' > b_i\} \quad (21)$$

$$\mathcal{P}'_i = \mathcal{Q}_I \cap \{\mathbf{x}'' \in \mathbb{Q}^{2n} \mid \vec{a}_i \cdot \mathbf{x}'' \geq b_i\} \quad (22)$$

for $i = 1, \dots, m$. Then, clearly, $\mathcal{Q}_I \setminus \mathcal{Q}'_I \subseteq \bigcup_{i=1}^m \mathcal{P}_i$. It suffices to prove that f_1 has a lower bound over \mathcal{P}_i , for every i . Fix i for the rest of the argument, such that \mathcal{P}_i is not empty. It is important to note that, by construction, all integer points of \mathcal{P}_i are also in $\mathcal{Q}_I \setminus \mathcal{Q}'_I$.

Let H be the half-space $\{\mathbf{x}'' \mid \vec{a}_i \cdot \mathbf{x}'' \leq b_i\}$. We first claim that $\mathcal{P}_i = \mathcal{P}'_i \setminus H$ contains an integer point. Equivalently, there is an integer point of \mathcal{Q}_I not contained in H . There has to be such a point, for otherwise, \mathcal{Q}_I , being integral, would be contained in H , and \mathcal{P}_i would be empty. Let \mathbf{x}_0'' be such a point.

Next, assume (by way of contradiction) that f_1 is *not* lower bounded on \mathcal{P}_i . Express f_1 as $f_1(\mathbf{x}) = \vec{\lambda} \cdot \mathbf{x} + \lambda_0$, then $\vec{\lambda} \cdot \mathbf{x}$ is not lower bounded on \mathcal{P}_i and thus not on \mathcal{P}'_i . This means that \mathcal{P}'_i is not a polytope, and thus can be expressed as $\mathcal{O} + \mathcal{C}$, where \mathcal{O} is a polytope and \mathcal{C} is a cone. It is easy to see that there must be a rational $\mathbf{y}'' \in \mathcal{C}$ such that $\vec{\lambda} \cdot \mathbf{y}'' < 0$, since otherwise f_1 would be bounded on \mathcal{P}'_i .

For $k \in \mathbb{Z}_+$, consider the point $\mathbf{x}_0'' + k\mathbf{y}''$. Clearly it is in \mathcal{P}'_i . Since $\mathbf{y}'' \in \mathcal{C}$, we have $\vec{a}_i \cdot \mathbf{y}'' \geq 0$; Since $\mathbf{x}_0'' \in \mathcal{P}_i$, we have $\vec{a}_i \cdot \mathbf{x}_0'' > b_i$; adding up, we get $\vec{a}_i \cdot (\mathbf{x}_0'' + k\mathbf{y}'') > b_i$ for all k . We conclude that the set $S = \{\mathbf{x}_0'' + k\mathbf{y}'' \mid k \in \mathbb{Z}_+\}$ is contained in \mathcal{P}_i . Clearly, it includes an infinite number of integer points. Moreover f_1 obtains arbitrarily negative values on S (the larger k , the smaller the value), in particular on its integer points. Recall that these points are included $\mathcal{Q}_I \setminus \mathcal{Q}'_I$, thus f_1 is not lower bounded on the integer points of $\mathcal{Q}_I \setminus \mathcal{Q}'_I$, a contradiction to the way \mathcal{Q}'_I was defined. \square

Corollary 5.3. If $I(\mathcal{Q})$ has a weak *LLRF* of depth d , then \mathcal{Q}_I has a *MΦRF*, of depth at most d .

Proof. By Theorem 5.2 we know that \mathcal{Q}_I has a weak *LLRF* (of the same depth), which in turn can be converted to a *MΦRF* by Theorem 4.4. \square

Since $M\Phi$ RFs are also weak $LLRF$, we get

Corollary 5.4. If $I(\mathcal{Q})$ has a $M\Phi$ RF of depth d , then \mathcal{Q}_I has a $M\Phi$ RF of depth at most d .

The above corollary provides a complete procedure for synthesizing $M\Phi$ RFs over the integers, simply by seeking a nested ranking function for \mathcal{Q}_I .

EXAMPLE 5.5. For the loop of Example 5.1, computation of the integer hull results in the addition of the constraint $x_1 \geq 1$. Now seeking a $M\Phi$ RF as in Section 3 we find, for example, $\langle 10x_2 + 10, x_3 \rangle$. Note that $\langle 10x_2, x_3 \rangle$, which a $M\Phi$ RF for $I(\mathcal{Q})$, is not a $M\Phi$ RF for \mathcal{Q}_I according to Definition 2.1, e.g., for any $0 < \varepsilon < 1$ the transition $(1 + \varepsilon, -\varepsilon, 0, 1, -3\varepsilon - 1, -10\varepsilon + 9) \in \mathcal{Q}_I$ is not ranked, since $10x_2 < 0$ and $x_3 - x'_3 = 10\varepsilon - 9 < 1$.

The procedure described above has exponential-time complexity, because computing the integer hull requires exponential time. However, it is polynomial for the cases in which the integer hull can be computed in polynomial time [4, Sect. 4]. The next theorem shows that the exponential time complexity is unavoidable for the general case (unless $P = NP$).

THEOREM 5.6. $BM\Phi RF(\mathbb{Z})$ is coNP -complete.

The proof repeats the arguments in the coNP -completes proof for linear ranking functions [4, Sect. 3]. We omit the details.

6 The Depth of a $M\Phi$ RF

A wishful thought: If we could pre-compute an upper bound on the depth of optimal $M\Phi$ RFs, and use it to bound the recursion, we would obtain a complete decision procedure for $M\Phi$ RFs in general, since we can seek a $M\Phi$ RF, as in Section 3, of this specific depth. This thought is motivated by results for *lexicographic ranking functions*, for example, [4] shows that the number of components in such functions is bounded by the number of variables in the loop. For $M\Phi$ RFs, we were not able to find a similar upper bound, and we can show that the problem is more complicated than in the lexicographic case as a bound, if one exists, must depend not only on the number of variables or constraints, but also on the values of the coefficients in the loop constraints.

THEOREM 6.1. For integer $B > 0$, the following loop \mathcal{Q}_B

while $(x \geq 1, y \geq 1, x \geq y, 2^B y \geq x)$ **do** $x' = 2x, y' = 3y$

needs at least $B + 1$ components in any $M\Phi$ RF.

Proof. Define $R_i = \{(2^i c, c, 2^{i+1} c, 3c) \mid c \geq 1\}$ and note that for $i = 0 \dots B$, we have $R_i \subset \mathcal{Q}_B$. Moreover, $R_i \neq R_j$ for different i and j . Next we prove that in any $M\Phi\text{RF}$ $\langle f_1, \dots, f_d \rangle$ for \mathcal{Q}_B , and R_i with $i = 0 \dots B$, there must be a component f_k such that $\mathbf{x}'' \in R_i \rightarrow f_k(\mathbf{x}) - f(0, 0) \geq 0 \wedge \Delta f_k(\mathbf{x}'') > 0$. To prove this, fix i . We argue by the pigeonhole principle that, for some k , $f_k(2^i c, c) = c f_k(2^i, 1) + (1 - c) f_k(0, 0) \geq 0$ and $f_k(2^i c, c) - f_k(2^{i+1} c, 3c) = c(f_k(2^i, 1) - f_k(2^{i+1}, 3)) > 0$ for infinite number of values of c , and thus $f_k(2^i, 1) - f_k(0, 0) \geq 0$, and $f_k(2^i, 1) - f_k(2^{i+1}, 3) > 0$, leading to the above statement. We say that R_i is “ranked” by f_k .

If $d < B + 1$, then, by the pigeonhole principle, there are different R_i and R_j that are “ranked” by the same f_k . We show that this leads to a contradiction. Consider R_i and R_j , with $j > i$, and assume that they are “ranked” by $f_k(x, y) = a_1 x + a_2 y + a_0$. Applying the conclusion of the last paragraph to R_i and R_j , we have:

$$f_k(2^i, 1) - f_k(2^{i+1}, 3) = -a_1 2^i - a_2 2 > 0 \quad (23)$$

$$f_k(2^j, 1) - f_k(2^{j+1}, 3) = -a_1 2^j - a_2 2 > 0 \quad (24)$$

$$f_k(2^i, 1) - f_k(0, 0) = a_1 2^i + a_2 \geq 0 \quad (25)$$

$$f_k(2^j, 1) - f_k(0, 0) = a_1 2^j + a_2 \geq 0 \quad (26)$$

Adding $\frac{1}{2} \cdot (24)$ to (26) we get $a_1 2^{j-1} > 0$. Thus, a_1 must be positive. From the sum of $\frac{1}{2} \cdot (24)$ and (25), we get $a_1(2^i - 2^{j-1}) > 0$, which implies $j > i + 1$, and $a_1 < 0$, a contradiction. We conclude that d must be at least $B + 1$. \square

The bound $B + 1$ in the above theorem is tight. This is confirmed by the $M\Phi\text{RF}$ $\langle x - 2^B y, x - 2^{B-1} y, x - 2^{B-2} y, \dots, x - y \rangle$.

7 Iteration Bounds from $M\Phi\text{RFs}$

Automatic complexity analysis techniques are often based on bounding the number of iterations of loops, using ranking functions. Thus, it is natural to ask if a $M\Phi\text{RF}$ implies a bound on the number of iterations of a given SLC loop. For $LRFs$, the implied bound is trivially linear, and in the case of SLC loops, it is known to be linear also for a class of lexicographic ranking functions [4]. In this section we show that $M\Phi\text{RFs}$, too, imply a linear iteration bound, despite the fact that the variables involved may grow non-linearly during the loop.

EXAMPLE 7.1. Consider the following loop

while $(x \geq 0)$ **do** $x' = x + y, y' = y - 1$

with the corresponding $M\Phi\text{RF}$ $\langle y + 1, x \rangle$. Let us consider an execution starting from positive values x_0 and y_0 . It is easy to see that when $y + 1$ reaches 0, i.e., when moving from that first phase to the second phase, the value of x would be $x_0 + y_0 + (y_0 - 1) + \dots + 1 + 0 - 1 = x_0 + \frac{y_0(y_0+1)}{2} - 1$, which is polynomial in the input. It may seem that the next phase would be super-linear, since the second phase is ranked by x , however, note that x decreases first by 1, then by 2, then by 3, and so on. This means that the quantity $\frac{y_0(y_0+1)}{2}$ is eliminated in y_0 iterations, and then in at most $x_0 - 1$ iteration the remaining value $x_0 - 1$ is eliminated as well. Thus, the total runtime is linear.

In what follows we generalize the observation of the above example. We consider an SLC loop \mathcal{Q} , and a corresponding irredundant $M\Phi\text{RF}$ $\tau = \langle f_1, \dots, f_d \rangle$. Let us start with an outline of the proof. We first define a function $F_k(t)$ that corresponds to the value of f_k after iteration t . We then bound each F_k by some expression $UB_k(t)$, and observe that for t greater than some number T_k , that depends linearly on the input, $UB_k(T_k)$ becomes negative. This means that T_k is an upper bound on the time in which the k -th phase ends; the whole loop must terminate before $\max_k T_k$ iterations.

Let \mathbf{x}_t be the state after iteration t , and define $F_k(t) = f_k(\mathbf{x}_t)$, i.e., the value of the k -th component f_k after t iterations. For the initial state \mathbf{x}_0 , we let $M = \max(f_1(\mathbf{x}_0), \dots, f_d(\mathbf{x}_0), 1)$. Note that M is linear in $\|\mathbf{x}_0\|_\infty$ (i.e., in the maximum absolute value of the components of \mathbf{x}_0). We first state an auxiliary lemma and then a lemma that bounds F_k .

LEMMA 7.2. *For all $1 < k \leq d$, there are $\mu_1, \dots, \mu_{k-2} \geq 0$ and $\mu_{k-1} > 0$ such that $\mathbf{x}'' \in \mathcal{Q} \rightarrow \mu_1 f_1(\mathbf{x}) + \dots + \mu_{k-1} f_{k-1}(\mathbf{x}) + (\Delta f_k(\mathbf{x}'') - 1) \geq 0$.*

Proof. From the definition of $M\Phi\text{RF}$ we have

$$\mathbf{x}'' \in \mathcal{Q} \rightarrow f_1(\mathbf{x}) \geq 0 \vee \dots \vee f_{k-1}(\mathbf{x}) \geq 0 \vee \Delta f_k(\mathbf{x}'') \geq 1.$$

Moreover the conditions of Lemma 2.3 hold since f_k is not redundant, thus there are non-negative constants μ_1, \dots, μ_{k-1} such that

$$\mathbf{x}'' \in \mathcal{Q} \rightarrow \mu_1 f_1(\mathbf{x}) + \dots + \mu_{k-1} f_{k-1}(\mathbf{x}) + (\Delta f_k(\mathbf{x}'') - 1) \geq 0.$$

Moreover, at least μ_{k-1} must be non-zero, otherwise it means that $\Delta f_k(\mathbf{x}'') \geq 1$ holds already when f_1, \dots, f_{k-2} are negative, so f_{k-1} would be redundant. \square

It is not hard to see that the coefficients described in the above lemma can be computed explicitly, if desired. Similarly, the constants in the next lemma, and consequently the linear iteration bound we claim, can be computed explicitly, in polynomial time.

LEMMA 7.3. *For all $1 \leq k \leq d$, there are constants $c_k, d_k > 0$ such that $F_k(t) \leq c_k M t^{k-1} - d_k t^k$, for all $t \geq 1$.*

Proof. The proof is by induction. For the base case, $k = 1$, we take $c_1 = d_1 = 1$ and get $F_1(t) \leq M - t$, which is trivially true. For $k \geq 2$ we assume that the lemma holds for smaller indexes and show that it holds for k . First note that the change in the value of $F_k(t)$ in the i -th iteration is $f_k(\mathbf{x}_{i+1}) - f_k(\mathbf{x}_i) = -\Delta f_k(\mathbf{x}_i'')$. By Lemma 7.2 and the definition of F_k , we have $\mu_1, \dots, \mu_{k-2} \geq 0$ and $\mu_{k-1} > 0$ such that (over \mathcal{Q})

$$f_k(\mathbf{x}_{i+1}) - f_k(\mathbf{x}_i) < \mu_1 F_1(i) + \dots + \mu_{k-1} F_{k-1}(i). \quad (27)$$

Now we bound F_k (explanation follows):

$$F_k(t) = f_k(\mathbf{x}_0) + \sum_{i=0}^{t-1} (f_k(\mathbf{x}_{i+1}) - f_k(\mathbf{x}_i)) \quad (28)$$

$$< M + \sum_{i=0}^{t-1} (\mu_1 F_1(i) + \dots + \mu_{k-1} F_{k-1}(i)) \quad (29)$$

$$\leq M(1 + \mu) + \sum_{i=1}^{t-1} (\mu_1 F_1(i) + \dots + \mu_{k-1} F_{k-1}(i)) \quad (30)$$

$$\leq M(1 + \mu) + \sum_{i=1}^{t-1} \sum_{j=1}^{k-1} (\mu_j c_j M i^{j-1} - \mu_j d_j i^j) \quad (31)$$

$$\leq M(1 + \mu) + \sum_{i=1}^{t-1} ((\sum_{j=1}^{k-1} \mu_j c_j M i^{j-1}) - \mu_{k-1} d_{k-1} i^{k-1}) \quad (32)$$

$$\leq M(1 + \mu) + \sum_{i=1}^{t-1} (M(\sum_{j=1}^{k-1} \mu_j c_j) i^{k-2} - \mu_{k-1} d_{k-1} i^{k-1}) \quad (33)$$

$$= M(1 + \mu) + M(\sum_{j=1}^{k-1} \mu_j c_j) (\sum_{i=1}^{t-1} i^{k-2}) - \mu_{k-1} d_{k-1} \sum_{i=1}^{t-1} i^{k-1} \quad (34)$$

$$\leq M(1 + \mu) + M(\sum_{j=1}^{k-1} \mu_j c_j) \left(\frac{t^{k-1}}{k-1} \right) - \mu_{k-1} d_{k-1} \left(\frac{t^k}{k} - t^{k-1} \right) \quad (35)$$

$$= c_k M t^{k-1} - d_k t^k \quad (36)$$

Each step above is obtained from the previous one as follows: (29) by replacing $f_k(\mathbf{x}_0)$ by M , since $f_k(\mathbf{x}_0) \leq M$, and applying (27); (30) by separating the term for $i = 0$ from the sum; this term is bounded by μM , where $\mu = \sum_{j=1}^{k-1} \mu_j$, because $F_k(0) = f_k(\mathbf{x}_0) \leq M$ by definition; (31) by applying the induction hypothesis; (32) by removing all negative values $-\mu_j d_j i^j$, except the last one $-\mu_{k-1} d_{k-1} i^{k-1}$; (33) by replacing i^{j-1} by an upper bound i^{k-2} ; (34) by opening parentheses; (35) replacing $\sum_{i=1}^{t-1} i^{k-2}$ by an upper bound $\frac{t^{k-1}}{k-1}$, and $\sum_{i=1}^{t-1} i^{k-1}$ by a lower bound $\frac{t^k}{k} - t^{k-1}$; finally for (35), take $c_k = (1 + \mu) + (\sum_{j=1}^{k-1} \mu_j c_j)/(k-1) + \mu_{k-1} d_{k-1}$, and $d_k = \mu_{k-1} d_{k-1}/k$ and note that both are positive. \square

THEOREM 7.4. *An SLC loop that has a $M\Phi RF$ terminates in a number of iterations bounded by $O(\|\mathbf{x}_0\|_\infty)$.*

Proof. Observe that for $t > \max\{1, (c_k/d_k)M\}$, we have $F_k(t) < 0$, proving that the k -th phase terminates by this time (since it remains negative after that time). Thus,

by the time $\max\{1, (c_1/d_1)M, \dots, (c_k/d_k)M\}$, which is linear in $\|\mathbf{x}_0\|_\infty$ since M is, all phases must have terminated. \square

Note that the constants c_k and d_k above can be computed explicitly, if desired.

EXAMPLE 7.5. Consider the loop of Example 7.1, the corresponding $M\Phi$ RF $\langle y + 1, x \rangle$, initial positive input $y_0 \geq x_0 \geq 1$, and let $M = \max(x_0, y_0 + 1) = y_0 + 1$. By definition $F_1(t) \leq M - t$. Let us bound F_2 . First we find a bound on $-\Delta f_2(\mathbf{x}'')$. Starting from

$$(x, x', y, y') \in \mathcal{Q} \rightarrow y + 1 \geq 0 \vee (x - x') \geq 1$$

we find $\mu_1 > 0$ such that

$$(x, x', y, y') \in \mathcal{Q} \rightarrow \mu_1(y + 1) + (x - x') - 1 \geq 0$$

which holds for $\mu_1 = 1$ (substitution $x' = x + y$ and $\mu_1 = 1$ we get $0 \geq 0$). Thus $-\Delta f_2(\mathbf{x}'') = x' - x \leq y$ (which is easy to see in this case since the update is a deterministic). Now $F_2(t) \leq c_2Mt - d_2t^2$ where $c_2 = (1 + \mu) + (\mu_1c_1) + \mu_1d_1 = 4$, and $d_k = \mu_1d_1/2 = \frac{1}{2}$. Thus $F_2(t) < 4Mt - \frac{1}{2}t^2$. For $t > \max\{1, M, 8M\}$ we get both $F_1(t)$ and $F_2(t)$ negative, which means that $8M = 8y_0 + 8$ is a bound for the runtime for this input.

We remark that the above result also holds for multi-path loops if they have a nested ranking function, but does not hold for any $M\Phi$ RF.

8 Conclusion

Linear ranking functions, lexicographic and multiphase combinations of linear ranking functions, have all been proposed in earlier work. The original purpose of this work has been to improve our understanding of multiphase functions, and answer open problems regarding the complexity of obtaining such functions from linear-constraint loops, the difference between the integer case and the rational case, and the possibility of inferring an iteration bound from such ranking functions. Similarly, we wanted to understand a natural class of lexicographic ranking functions, which removes a restriction of previous definitions regarding negative values. Surprisingly, it turned out that our main results are *equivalences* which show that, for single-path linear-constraint loops, both $M\Phi$ RFs and LL RFs reduce to a simple kind of $M\Phi$ RF, that has been known to allow polynomial-time solution (over the rationals). Thus, our result collapsed, in essence, the above classes of ranking functions.

The implication of having a polynomial-time solution, which is hardly more complex than the standard algorithm to find linear ranking functions, is that whenever one considers using *LRFs* in one’s work, one should consider using *MΦRFs*. By controlling the depth of the *MΦRFs* one trades expressivity for processing cost. We believe that it would be sensible to start with depth 1 (i.e., seeking a *LRF*) and increase the depth upon failure. Similarly, since a complete solution for the integers is inherently more costly (as we proved it to be **coNP**-complete), it makes sense to begin with the solution that is complete over the rationals, since it is, at any rate, safe for the integer case. If this does not work, one can also consider special cases in which the inherent hardness can be avoided, as discussed in detail in [4, Sect. 4].

Theoretically, some tantalizing open problems remain. Is it possible to decide whether a given loop admits a *MΦRF*, without a depth bound? This is related to the question, discussed in Section 6, whether it is possible to precompute a depth bound. What is the complexity of the *MΦRF* problems over multi-path loops? For such loops, the equivalence *MΦRFs*, nested r.f.s and *LLRFs* does not hold. Finally (generalizing the first question), we think that there is need for further exploration of single-path loops and of the plethora of “termination witnesses” based on linear functions (a notable reference is [18]).

We have implemented the *nested ranking function* procedure of Section 3, and applied it, among others, on a set of terminating and non-terminating *SLC* loops taken from [14]. These examples originate mainly from [7], and they were collected as ones that require the transition invariants techniques [23] for proving termination. For all 25 terminating loops in this set we found a *MΦRF* (2 have also a *LLRF* as defined in [4] and 6 have *LRF*). The implementation can be tried at <http://loopkiller.com/irankfinder>, where this set of examples is available as well.

Closely related work is already discussed in Section 1, for more details on algorithmic and complexity aspect of linear ranking of *SLC* loops, we refer the reader to [4].

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